

TO: File Nos. S7-07-18, S7-08-18, S7-09-18
FROM: Emily Rowland, Division of Investment Management
RE: Meeting with Representatives of Financial Engines
DATE: June 20, 2018

On June 20, 2018, representatives of the Securities and Exchange Commission (“SEC”) participated in a meeting with representatives of Financial Engines. The SEC representatives present in person were: Parisa Haghshenas, Emily Rowland, Elizabeth Miller, Gena Lai, and Benjamin Kalish from the Division of Investment Management; Emily Russel, Geeta Dhingra and Bradford Bartels from the Division of Trading and Markets; and, Jennifer Juergens, Mattias Nilsson, and Iulian Obreja, from the Division of Economic and Risk Analysis. The following representatives of Financial Engines were present in person: Christopher L. Jones (Chief Investment Officer & Executive Vice President, Investment Management, Financial Engines), David Weiskopf (Principal, Weiskopf Consulting) and Dean A. Brazier (K&L Gates).

The participants discussed, among other things, the SEC’s proposed rules and interpretation relating to standards of conduct for investment professionals.